

JC13 Rec'd PCT/PTO 15 APR 2005

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Ralf Brederlow ET AL.

Appln. No.: Not yet assigned

Filed: Herewith

For: INTEGRATED CIRCUIT  
 ARRANGEMENT HAVING  
 CAPACITORS AND HAVING  
 PLANAR TRANSISTORS AND A  
 FABRICATION METHOD

Attorney Docket No: 10808/234

Examiner: Not yet assigned

Art Unit: N/A

## INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

| No.   | Date of Publication | Patentee/Applicant/Assignee |
|---|---------------------|-----------------------------|
| 6,569,717   | May 27, 2003        | Murade                      |
| 6,417,057 B1  | July 9, 2002        | Takemura et al.             |
| 6,414,345   | July 2, 2002        | Sazawa                      |
| 6,140,162   | October 31, 2000    | Yeo                         |
| 6,133,075   | October 17, 2000    | Yamazaki et al.             |
| 5,998,807   | December 7, 1999    | Lustig et al.               |
| 4,753,896   | June 28, 1988       | Matlaubian                  |
| <b>FOREIGN PATENT DOCUMENTS</b>   |                     |                             |
| DOCUMENT NUMBER<br><small>Number-Kind Code (if known)</small>                                   | DATE                | COUNTRY                     |
| JP 2000312006 US  | November 17, 2000   | Japan                       |
| JP 62259466   | November 11, 1987   | Japan                       |
| JP 61113271 A   | May 31, 1986        | Japan                       |
| JP 57176757 A   | October 30, 1982    | Japan                       |
| <b>OTHER ART – NON PATENT LITERATURE DOCUMENTS</b>  |                     |                             |
| Copy of International Search Report from corresponding PCT application no.<br>PCT/DE2003/03354. |                     |                             |
| Copy of German Office Action from German application number 10248723.5.                         |                     |                             |

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicants respectfully request the Examiner's

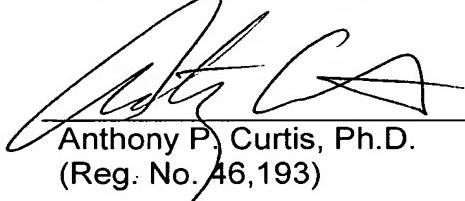
consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

4/15/05  
Date

  
Anthony P. Curtis, Ph.D.  
(Reg. No. 46,193)

10/531493

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|--|-------------------------------------|-----------------------|
| FORM PTO-1449  | SERIAL NO.<br>Not yet assigned      | CASE NO.<br>10808/234 |
| <b>LIST OF PATENTS AND PUBLICATIONS FOR<br/>APPLICANT'S INFORMATION DISCLOSURE<br/>STATEMENT</b> | FILING DATE<br>Herewith             | GROUP ART UNIT<br>N/A |
| (use several sheets if necessary)  | APPLICANT(S): Ralf Brederlow et al. |                       |

**REFERENCE DESIGNATION**      **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL |     | DOCUMENT NUMBER<br>Number-Kind Code (If known) | DATE              | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES OR NO                     |
|------------------|-----|--|-------------------|---------|-----------------|---|
|                  | A8  | JP 2000312006 US                               | November 17, 2000 | Japan   |                 | X (Related to U.S. Pat. No. 6,569,717 B1) |
|                  | A9  | JP 62259466                                    | November 11, 1987 | Japan   |                 |   |
|                  | A10 | JP 61113271 A                                  | May 31, 1986      | Japan   |                 |   |
|                  | A11 | JP 57176757 A                                  | October 30, 1982  | Japan   |                 |   |

**EXAMINER  
INITIAL**

#### **OTHER ART – NON PATENT LITERATURE DOCUMENTS**

(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.

|  |     |  |
|--|-----|--|
|  | A12 | Copy of International Search Report from corresponding PCT application no. PCT/DE2003/03354. |
|  | A13 | Copy of German Office Action from German application number 10248723.5.                      |
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|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609;  
Draw line through citation if not in conformance and not considered. Include copy of this form with  
next communication to applicant.